

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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In re Patent Application of:  
John E. Jones *et al.*

Customer No. 41,230

Application No. 10/669,787

Confirmation No. 6413

Filed: September 24, 2003

Art Unit: 3693

For: FINANCIAL DOCUMENT PROCESSING  
SYSTEM

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Examiner: James A. Vezaris

**COMMENTS ON STATEMENT OF REASONS  
FOR ALLOWANCE AND INTERVIEW SUMMARY**

Mail Stop Issue Fee – via EFS  
COMMISSIONER FOR PATENTS  
Alexandria, VA 22313-1450

Dear Commissioner:

Applicants submit this paper, Comments On Statement Of Reasons For Allowance And Interview Summary, in response to the Notice of Allowance and Fee(s) Due (“Notice of Allowance”), mailed September 2, 2010. This paper is being filed concurrent with Amendment After Allowance Under 37 CFR § 1.312 and the payment of the issue fee and publication fee for the above-identified patent application. The period for response is three months from the mailing date of the Notice, *i.e.*, by December 2, 2010. Thus, these Comments are being timely filed. Please enter the following comments into the record.

### **Telephone Interviews and Interview Summaries**

Applicants note with appreciation the telephone interview with Examiner Vezeris on August 18, 2010. During the interview, authorization was given by the Applicants' representative to cancel claims 68-79, which followed with the Examiner subsequently issuing the Notice of Allowance.

Applicants also note with appreciation the follow up telephone interview with Examiner Vezeris on November 9, 2010. During the interview, Applicants' representative sought clarification of the Examiner's reasons for allowance. Specifically, the Examiner confirmed that on page 3 of the Notice of Allowability, the second sentence of the second paragraph, under the Reasons for Allowance heading, is intended to state:

Further, Jones fails to teach the inclusion in the automatically generated government required report of an image of the bills being deposited as well as the serial number of the bill being deposited.

### **Comments on Statement of Reasons for Allowance**

The Notice of Allowance states the following:

Jones teaches a system wherein a deposit is made and an image is created of the currency bills. Further the serial numbers are scanned and stored in an electronic image. Jones goes on to state the ability to store images, including serial numbers as well as the image of the actual dollar bill.

(See Notice of Allowability, at 3).

The issued patent, Jones *et al.* US 6,363,164 ("Jones"), speaks for itself. For non-limiting examples clarifying the preceding statement from the Notice of Allowance, Applicants refer the Examiner to Jones. For example, one non-limiting excerpt from the specification of Jones recites:

The full image scanner 12, described in greater detail below, scans the full image of the document, recognizes certain fields within the document, and processes information contained within these fields in the document. For example, the full image scanner 12 may search for the serial number field when processing U.S. currency, determine the serial number once the field is located, and store the serial number for later use by the system. The system may also be used to capture any document image for electronic document

display, electronic document storage, electronic document transfer, electronic document recognition (such as denomination recognition or check amount recognition) or any other processing function that can be performed using an electronic image.

(See Jones, column 5, line 64 – column 6, line 10).

The Notice of Allowance also states:

However Jones fails to teach the ability to automatically generate a government required report when a certain deposit amount is hit. Further Jones fails to teach the inclusion of an image of the bills being deposited as well as the serial numbers of the bills being deposited. Examiner finds that the including of the automatically generating the government required report with the images of the bills as well as the serial numbers deposited is not found in the prior art.

(See Notice of Allowability, at 3) (emphasis added).

As discussed above under the Telephone Interviews and Interview Summaries section, the Examiner's understanding and intention for the underlined sentence is that Jones, *inter alia*, does not teach the inclusion in an automatically generated government required report of an image of the bills being deposited as well as the serial number of the bill being deposited.

Furthermore, to clarify the Examiner's formal statement of reasons for allowance on page 3 of the Notice of Allowability, the Applicants refer to the language recited in each of the allowed independent claims. That is, the Examiner's formal statement refers only to the language of independent claim 1 and applies that same language to all the allowed independent claims, rather reciting the respective language of each of the independent claims. Thus, the Applicants are clarifying the record to state that the reasons independent claims 1, 12, 23, and 32 are allowed are because the prior art of record, neither discloses nor fairly suggests, *inter alia*:

- (i) automatically generating a government-required report whenever the accumulated total value exceeds a prescribed value, wherein the document processing device is configured to include in the automatically generated government-required report one or more of the electronic images, an identification of the specified account at the financial institution to which the deposit is being made, the accumulated total value of the deposit, and the serial numbers associated with the currency bills included in the deposit, as recited in allowed independent claim 1;

- (ii) wherein the document processing device is configured to accumulate a total value of the plurality of currency bills included in the deposit transaction and to automatically generate a government-required report whenever the accumulated total value exceeds a prescribed value, the document processing device being further configured to include one or more of the electronic images, an identification of the specified account at the financial institution to which the deposit is being made, the accumulated total value, and the serial numbers extracted from the electronic images in the automatically generated government-required report, as recited in allowed independent claim 12;
- (iii) a processor programmed to accumulate the total value of the currency bills included in the deposit transaction, to extract the associated serial numbers from the electronic images of the currency bills, and to automatically generate a government-required report whenever the accumulated total value exceeds a prescribed value, the processor further being programmed to include the associated serial numbers of the currency bills, an identification of the specified account at the financial institution to which the deposit is being made, and the accumulated total value of the currency bills in the automatically generated government-required report, as recited in allowed independent claim 23; or
- (iv) automatically generating and printing a government-required report whenever the accumulated total value exceeds a prescribed value, the automatically generating the government-required report comprising including in the report the extracted serial numbers from the at least partial images of the plurality of currency bills, an identification of the specified account at the financial institution to which the deposit is being made, and the accumulated total value of the plurality of currency bills included in the deposit transaction, as recited in allowed claim 32.

The Applicants are also clarifying that dependent claims 2-11, 13-22, 24-31, 33-42, and 61-61 are allowable for at least the same reasons as the claims from which they depend are allowable.

### **CONCLUSION**

If there are any matters which may be resolved or clarified through a telephone interview, the Examiner is requested to contact the undersigned attorney at (312) 425-8552.

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It is believed that only the issue fee and the publication fee are due at this time. No additional fees are believed to be due; however, should any additional fees be required, or credits be due, the Commissioner is authorized to deduct the fees from, or credit the overpayments to, the Nixon Peabody Deposit Account No. 50-4181, Order No. 247171-000381USPT.

Respectfully submitted,

Dated: November 23, 2010

/Peter J. Prommer – Reg. No. 54,743/

Peter J. Prommer  
NIXON PEABODY LLP  
300 South Riverside Plaza, 16<sup>th</sup> Floor  
Chicago, IL 60606  
(312) 425-3900 - main  
(312) 425-3909 - facsimile

ATTORNEY FOR APPLICANTS